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U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

PATENT APPLICATION TRANSMITTAL LETTER

ATTORNEY DOCKET NUMBER:
10392-46001

Commissioner of Patents and Trademarks
Washington D.C. 20231

Transmitted herewith for filing is the patent application of

Inventor(s): **Steven M.H. WALLMAN**

For: **METHOD AND APPARATUS FOR ENABLING SMALLER INVESTORS OR OTHERS TO CREATE AND MANAGE A PORTFOLIO OF SECURITIES OR OTHER ASSETS OR LIABILITIES ON A COST EFFECTIVE BASIS**

Enclosed are:

1. 49 sheets of specification 2, sheets of claims, and 1 sheet of abstract.
2. 13 sheet(s) of drawings.

The filing fee has been calculated as shown below:

| | NUMBER FILED | NUMBER EXTRA* | RATE (\$) | FEE (\$) |
|--|--------------|------------------|-----------------------|-----------|
| BASIC FEE | | | 790.00 | \$790.00 |
| TOTAL CLAIMS | 49 - 20 = | 29 | 22.00 | \$638.00 |
| INDEPENDENT CLAIMS | 4 - 3 = | 1 | 82.00 | \$82.00 |
| MULTIPLE DEPENDENT CLAIM PRESENT | | | 270.00 | 0 |
| FEE FOR RECORDATION OF ASSIGNMENT | | | 40.00 | 0 |
| *Number extra must be zero or larger | | | TOTAL | \$1510.00 |
| If applicant is a small entity under 37 C.F.R. §§ 1.9 and 1.27, then divide total fee by 2, and enter amount here. | | | SMALL ENTITY TOTAL | .00 |

3. The Office is authorized to charge the filing fee of **\$1,510.00** to **Deposit Account No. 11-0600**. A duplicate copy of this paper is enclosed for that purpose.

4. The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to the **Deposit Account No. 11-0600**.

A. Any additional filing fees required under 37 C.F.R. § 1.16.

B. Any patent application processing fees under 37 C.F.R. § 1.17.

5. Please direct all correspondence to **Michael P. Fortkort at Kenyon & Kenyon, 1025 Connecticut Avenue, N.W., Suite 600, Washington, DC 20036, phone number (202) 429-1776**.

6. The Applicant is: **Mr. Steven MH Wallman**. An executed Declaration and Power of Attorney will be filed at a later date.

Dated: 3/11/98


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